STATEWIDE AUTOMATED CHILD WELFARE INFORMATION SYSTEM (SACWIS)

PROGRAM/SYSTEM FUNCTIONS

Functions with an asterisk (*) are those that have been determined to be critical functions in meeting the minimum requirements specified in 45 CFR 1355.53(b), which should be either part of the integrated child welfare information system or support the child welfare system through an automated interface.

I. INTAKE MANAGEMENT
This function consists of processing referrals for service, conducting an investigation, and assessing the need for service.

A. INTAKE *

1. **Record contact/referral** * - The automated system must record initial contacts regarding allegations of abuse or neglect, or provide for the input of a formal referral for protective services, voluntary placement services, juvenile corrections and other services.
2. **Collect intake/referral information** * - The automated system must allow for input of available situation and demographic information, including the cross-referencing of relationships among participants and the reason for referral.
3. **Search for prior history (persons/incidents)** * - The automated system must provide for a search to the database(s) to check for prior incidents and other available information. For a single incident, the system must allow for more than one report of that incident by including information on each individual or agency making a report (such additional reports may or may not be counted in the total number of reports, depending on State policy).
4. **Record "information only" requests** - The automated system may provide for the recording of calls or contacts which do not involve a specific allegation or referral.

B. SCREENING *

1. **Evaluate intake information** * - The automated system must support the evaluation of the received information to determine the necessity of establishing a case.

2. **Record the results of the screening evaluation** * - The automated system must provide for the recording of the determination resulting from the screening process.
3. **Establish case record** * - The automated system must provide for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.
4. **Assign case to worker** * - The automated system must support and record the assignment of the case to a worker and for the tracking of that case through the process.
5. **Refer for investigation and/or services, as appropriate** * - The automated system must support the referral/transfer of the case for investigation, if necessary, or for assessment, if the allegation is not related to maltreatment.

C. INVESTIGATION *

1. **Collect and record investigation information** - The automated system **may** provide for the input of information collected during the investigation process, including the recording of contacts made during the investigation.
2. **Record investigation decision** * - The automated system must provide for the recording of the decision resulting from the investigation.
3. **Generate documents as needed in response to investigation** * - The system must support the preparation of alerts, notifications and reports required during, and as a result of, the investigative process.

D. ASSESSMENT *

1. **Determine and record risk assessment** * - The automated system must support the evaluation and determination of risk factors affecting the case (this may be initiated during intake or investigation).
2. **Perform risk assessment** - The automated system may perform an automated risk assessment, which may use rules-based technology to determine the relative level of risk.
3. **Collect and record special needs/problems** * - The automated system must assist in the determination and documentation of special needs/problems (e.g., special education, developmental disabilities, medical assessment, etc.).
4. **Determine and record needed services** * - The automated system must support the determination of needed services and

record those services, including the assignment and recording of the level of care (placement locations, in-home care, etc.).

5. **Record client contacts** - The automated system may provide for the recording of client contacts in the electronic case folder.

6. **Prepare and record referrals to other agencies** -The automated system **may** provide for the preparation and recording in the electronic case folder of referrals to other agencies.

7. **Collect and record further case information** - The automated system **may** provide for the recording in the electronic case record of additional case information gathered during the assessment process.

8. **Generate documents, notices and reports based on review as needed** * - The automated system must support the generation of documents, notices, and reports during, or resulting from, the assessment process.

II. ELIGIBILITY

This function consists of determining programs for which funding support is available for clients receiving services. Program eligibility may include funding for foster care/adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.

A. INITIAL ELIGIBILITY DETERMINATION *

1. **Determine title IV-E eligibility** * - The automated system must provide for the exchange and referral of information necessary to determine eligibility under title IV-E through an interface with the title IV-A system.

2. **Verify eligibility for other programs** * - The automated system must provide for the exchange and referral of information necessary to determine eligibility/status under other related programs such as title XIX (Medicaid) and title IV-D.

3. **Record authorization decisions** * - The automated system must provide for the recording of the eligibility authorization decisions.

4. **Generate documents related to eligibility determinations** * - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the initial eligibility determinations.

B. CHANGES IN ELIGIBILITY *

1. **Redeterminations** * - The automated system must provide for the processing of regularly scheduled and as needed program redeterminations and recording of redetermination decisions.
2. **Generate documents related to eligibility determinations** * - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status.

III. CASE MANAGEMENT

This function entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services. The service/case plan must include the required elements specified in section 475.

A. SERVICE/CASE PLAN *

1. **Prepare and document service/case plan** * - The automated system must support case plan development by documenting the services, available in the State, that are required to meet the specific needs identified in the assessment function in such areas as:
   - adoption: record and track information about adoptive placements and post-adoptive services, including subsidy benefits
   - family preservation: institute in-home services to prevent the need for placement
   - foster care: determine and track level of care, placement information, reunification services, legal requisites
   - independent living: determine and track services to provide transitional living assistance for State foster care youths
   - interstate compact: process/submit supervision requests from/with other states for children and youth
2. **Identify and match services to meet client's case plan needs** - The system **may** provide automated support in the identification and matching of service needs and available resources.
3. **Record contact with and acquisition of needed resources/services** - The automated system **may** support and record the preparation of necessary service requests or referrals.

4. **Track and update service/case plan** * - The automated system must support the monitoring of the progress of plan and update of the service/case plan in the electronic case folder.
5. **Match client to placement alternatives, if needed** - The system **may** provide automated support in the identification and matching of clients with available placement alternatives.
6. **Generate documents as needed** * - The automated system must support the generation of alerts, notices, and reports as necessary to track the progress of the service/case plan.
7. **Request and record supervisory approval of plan, if needed** - The automated system **may** provide support for obtaining supervisory approval of the service/case plan.
8. **Compute estimated and track actual costs of resources/services** - The automated system **may** include a component which estimates and tracks the costs of required/provided resources and services to assist in service/case plan management and tracking.
9. **Identify program outcome measures** - The automated system **may** include a component which identifies and tracks program outcome measures.

B. CASE REVIEW/EVALUATION *

1. **Generate alerts to conduct case review/evaluation as needed** * - The automated system must support the timely identification and continued tracking of cases requiring review/evaluation.
2. **Conduct and record results of case review** * - The automated system must support the case review process and provide for documentation of the reassessment decisions in the electronic case folder, including documentation of action items resulting from the reassessment.
3. **Generate documents, notices and reports based on review as needed** * - The automated system must support the generation of documents, notices, and reports during, or resulting from, the evaluation process.
4. **Record collateral contacts** - The automated system **may** provide for the recording of client collateral contacts and information resulting from those contacts.

C. MONITORING SERVICE/CASE PLAN SERVICES

1. **Track and record services identified in the service/case plan** - The automated system **may** provide for the recording in

the electronic case folder of the types, duration, and frequency of services.

2. **Generate documents, notices and reports** * - The automated system must support the generation of documents, notices, and reports to track the services needed and provided to the client.

IV. RESOURCE MANAGEMENT

This function supports the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers.

A. FACILITIES SUPPORT *

1. **Record and update provider information** * - The automated system must support the collection and maintenance of provider information such as license/certification status, types of services, level of care provided, level of care compliance and cost of care.

2. **Generate alerts/action items on licensing status changes** * - The automated system must support the timely identification and continued tracking of cases and/or facilities requiring a review or other action as a result of a change in provider information.

3. **Generate reconciliation and evaluation reports as needed** * - The automated system must support the generation of documents, notices, and reports, as needed.

4. **Record and track provider training** - The system may be used to record and track provider training needs and training received.

B. FOSTER/ADOPTIVE HOMES SUPPORT *

1. **Maintain and update foster care and adoptive home information as needed** * - As appropriate to the type of home, the automated system must support the collection and maintenance of foster care and adoptive home information such as licensing decisions, violations and revocations, required AFCARS information and received training.

2. **Record foster care home abuse/neglect allegations and investigation results** * - The automated system must support the identification of foster care families where allegations of abuse/neglect have been reported and substantiated, as

required by State law. The automated system must support the investigation of such allegations and document the results.

3. **Process foster care/adoptive home applications** - The automated system may provide for the recruitment and processing of foster care family applications.

4. **Generate alerts/action items as needed if foster care license is revoked** - The automated system may support the identification and tracking of cases requiring a review or other action as a result of changing information.

C. RESOURCE DIRECTORY

1. **Maintain directory** - The automated system **may** provide a directory/inventory of available resources and services.

2. **Generate reports** - The automated system **may** support the generation of management reports, as well as other alerts, bulletins, and notices related to resource availability.

D. CONTRACT SUPPORT

1. **Process contracts and contract changes** - The automated system **may** support the creation, processing, monitoring and modification of contracts.

2. **Record contract monitoring results** - The automated system **may** support efforts to monitor contractual compliance.

3. **Generate alerts/action items as needed** - The automated system **may** support the timely identification and continued tracking of cases requiring a review or other action as a result monitoring activities.

4. **Generate documents as needed** - The automated system **may** support the generation of notices and reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support.

V. COURT PROCESSING

This function encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.

A. COURT DOCUMENTS - The automated system **may** provide for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.

B. NOTIFICATIONS - The automated system **may** provide notifications to inform relevant parties of impending court actions.

C. TRACKING - The automated system **may** be used to monitor and track court-related events requiring State agency action, such as recording and outcomes for all petitions, trials, hearings, detention proceedings, periodic reviews, adoptions, and change of placements. Court decisions **may** be recorded in the electronic case folder.

D. INDIAN CHILD WELFARE ACT - The automated system **may** be used to support the Indian Child Welfare Act requirements.

VI. FINANCIAL MANAGEMENT

This function tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.

A. ACCOUNTS PAYABLE * - The automated system must provide support for accounts payable to providers (billing, vouchers, etc.).

B. ACCOUNTS RECEIVABLE * - The automated system must provide support for accounts receivable (e.g., overpayments, trust funds, SSI, etc.).

C. CLAIMS * - The automated system must provide support for the generation of provider payment and remittance advice. The automated system must support the update procedures necessary to adjust the claims process as a result of notification of status changes (including information received from title IV-A and other Federal/State programs), including termination of the case.

VII. ADMINISTRATION

This function incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.

A. STAFF MANAGEMENT * - This function covers various aspects of agency human resources, maintaining information on employees, work assignments, and staff performance.

   1. **Record and update employee information** * - The system must contain records of employees, showing name, employee number and office. These records may also contain demographic

information and results of Background Criminal Investigation (BCI) checks.

2. **Record and track case assignment** * - The system must provide for the assignment of cases to workers, track workload assignments and identify on-call staff.

3. **Assist in workload management** - The system may support the decision-making process in the assignment of cases to workers and help workers to manage their own caseloads by providing "to do" lists and prioritization of alerts.

4. **Track employee training** - The system may be used to track employee training needs and training received.

5. **Document employee performance** - The system may be used to support the staff review and evaluation process.

B. REPORTING * - This function produces information on a periodic and as-needed basis.

1. **Produce Federal and State reports** * - The system must generate required State and Federal reports (e.g., AFCARS) in either paper or electronic formats as required.

2. **Produce reports** * - The system must generate regular and ad hoc management reports (e.g., workload status, client/case status, performance factors, outcome measures, etc.)

3. **Produce statistical reports** * - The system must generate statistical reports needed to assist in the analysis of the program.

C. ADMINISTRATIVE SUPPORT - This function incorporates procedures for assuring adequate documentation and accurate data.

1. **Provide hardware and software security** * - The hardware, telecommunications network, software applications and data must be secured to protect from damage, destruction and loss, as well as fraud and abuse. Contingency plans and disaster recovery plans should be tested and readied in case of an emergency.

2. **Archive and purge** * - The system must provide for purging and archiving, as needed, of inactive records and closed cases.

3. **Provide office automation** - The system **may** provide office automation tools (e.g., word processing, ticklers, alerts,

calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions.

4. **Provide on-line system documentation** - The system **may** provide an on-line policy/procedures manual, user guides, and other system documentation as needed, such as field help screens.

5. **Provide on-line training** - The system **may** provide on-line, computer-based training for system users.

VIII INTERFACES

This function creates an electronic link between the child welfare and other systems, to receive, transmit, and verify case and client information.

A. REQUIRED INTERFACES * - To the extent practicable, the automated system must provide for a periodic electronic data interface with the following systems:

1. Title IV-A (AFDC)
2. Title IV-D (Child Support Enforcement)
3. Title XIX (Medicaid)
4. Child abuse and neglect data system

B. OPTIONAL INTERFACES - The automated system may provide for interfaces with other automated systems within the State, such as:

1. State Central Registry
2. Social Security Administration for Title II and SSI information
3. State financial system
4. State licensing system
5. Vital Statistics
6. Court system
7. Juvenile Justice
8. Mental health/retardation
9. State Department of Education